

CIRCULAR NO. A-11

PART 2

PREPARATION AND SUBMISSION OF STRATEGIC PLANS, ANNUAL PERFORMANCE PLANS, AND ANNUAL PROGRAM PERFORMANCE REPORTS



**EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET**

JULY 2000

SECTION 200 -- OVERVIEW OF STRATEGIC PLANS, ANNUAL PERFORMANCE PLANS, AND ANNUAL PROGRAM PERFORMANCE REPORTS

Summary Schedule

Initial FY 2002 performance plan to OMB.....	October 2000
Revised final FY 2001 performance plan completed.....	October 2000 (after final appropriations action)
FY 2000 program performance report to President and Congress.....	by March 31, 2001*
Final FY 2002 performance plan sent to Congress.....	April 2001 (schedule may be refined to correspond with the transmittal of President's budget)
Interim adjustments to strategic plans sent to Congress in 2000.....	April 2001 (with annual performance plans for FY 2002)
Initial FY 2003 performance plan to OMB.....	September 2001
FY 2001 program performance report to President and Congress.....	by March 31, 2002*
Updated and revised strategic plan sent to Congress and OMB.....	by September 2003 (within three years of the date of transmittal of the previous updated and revised strategic plan to Congress)*

* Assumes no legislative change to current schedules

200.1 Overview.

Strategic plans, annual performance plans, and annual program performance reports comprise the main elements of the Government Performance and Results Act (GPRA or the Results Act). Together, these elements create a recurring cycle of planning, program execution, and reporting.

These plans and reports are developed for use by:

- agency officials and staff in leading, managing, and carrying out Federal programs and activities;
- the President and Congress when forming programmatic and policy decisions, and for oversight;
- the public for information on the purpose and effectiveness of programs and activities, and the resources spent in conducting them.

By forging a strong link between resources and performance, these plans and reports should show what is being accomplished with the money that is being spent. Accountability for the levels of performance actually achieved is another key feature of GPRA.

The strategic plans provide the framework for implementing all other parts of this Act and set out a course of action and accomplishment over the long term.

Complementing the strategic plans are annual performance plans that set annual goals with measurable target levels of performance, and annual program performance reports that compare actual performance to the annual goals. Together, these should define a course to improve the performance of government programs and operations, and the basis for the Federal Government to manage for results.

GPRA requires that a government-wide performance plan be prepared annually by OMB as a part of the President's budget. The government-wide plan is based on the agency performance plans. The fourth government-wide plan will be issued with the FY 2002 Budget.

Agencies may receive waivers of certain, non-statutory administrative-type requirements established by other agencies. These waivers are intended to provide greater managerial flexibility in exchange for greater accountability for achieving performance goals. Requests for waivers are received and reviewed in conjunction with the annual performance plan.

200.2 Definitions.

General goal:	Included in a strategic plan, this goal defines how an agency will carry out its mission over a period of time. The goal is expressed in a manner which allows a future assessment to be made of whether the goal was or is being achieved. The goal may be of a programmatic, policy, or managerial nature. General goals are predominately outcome-type goals.
General objective:	Included in a strategic plan, the objective(s) are paired with a general goal and can be used to help assess whether a general goal was or is being achieved. An objective usually describes a more specific level of achievement than a general goal.
Outcome goal:	A description of the intended result, effect, or consequence that will occur from carrying out a program or activity.
Output goal:	A description of the level of activity or effort that will be produced or provided over a period of time or by a specified date, including a description of the characteristics and attributes (e.g., timeliness) established as standards in the course of conducting the activity or effort.
Performance goal:	Included in the annual performance plan. A target level of performance expressed as a tangible, measurable objective, against which actual achievement can be compared, including a goal expressed as a quantitative standard, value, or rate. Performance goals can be either outcome or output goals.
Performance indicator:	A particular value or characteristic used to measure output or outcome. Performance indicators are associated with performance goals in the annual performance plan.
Performance measure:	A performance goal or performance indicator.
Program activity:	A specific activity or project as listed in the program and financing schedules of the annual budget of the United States Government. (See also section 220.9 on program activity and section 82.3 on the program and financing schedule.)

Program evaluation: An assessment, through objective measurement and systematic analysis, of the manner and extent to which Federal programs achieve intended objectives.

200.3 Applicability.

For the purposes of Part 2 of this Circular, “agency” means cabinet departments and other establishments of the Federal government, including independent agencies and Government corporations. A government corporation is a corporation owned or controlled by the Federal government. The Legislative Branch and the Judiciary are not subject to GPRA requirements.

Except as noted below, agencies are required to submit strategic plans, annual performance plans, and annual program performance reports to the President, Congress, and OMB in accordance with these instructions. The Central Intelligence Agency and the Postal Rate Commission are not subject under this statute to the requirements for strategic plans, annual performance plans, or program performance reports. These instructions also do not apply to the Postal Service; preparation and submission of the Postal Service's strategic plan and performance plan are covered by Section 7 of GPRA.

OMB may exempt independent agencies with \$20 million or less in annual outlays from the requirements for a strategic plan, annual performance plan, and annual program performance report. GPRA does not authorize any exemption of a component of a department or independent agency, such as a bureau or office, that annually spends \$20 million or less.